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Docket No.: 3211/1H348-US1

07278

PATENT TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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JAN 02 2002

In re application of:

Technology Center 2100

Augustine F. UDO; Edward TITTMANN

Serial No.: 09/931,152

Group Art Unit: 2164

Filed: August 16, 2001

Examiner: N/A

Confirmation No.: 3162

For: **SYSTEM AND METHOD FOR CREATION OF BACKED DEPOSITARY RECEIPTS**

INFORMATION DISCLOSURE STATEMENT

U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

Sir:

In order to comply with discretionary regulations 37 CFR 1.97 and 1.98, attached hereto is Form PTO-1449, and copies¹ of the documents listed thereon.

¹To the extent that a document is listed and no copy of same is attached, then such document is not at the present time available to the undersigned or is available in the file of a parent application. If a listed document is not in the English language and an English translation is readily available, such translation is also attached; if translation is not attached it is not readily available to the undersigned. If a foreign language patent document is cited, and an English language equivalent is known to the undersigned, then such equivalent patent is also cited on the attached form along with the corresponding foreign language patent and a connecting arrow indicated therebetween; if no such English language equivalent is cited, then none is known to the undersigned.

In accordance with MPEP Sections 609 and 707.05(b), it is requested that each document cited (including any cited in applicant's specification which is not repeated on the attached Form PTO-1449) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing Form PTO-1449 next to the document. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

This submission is filed within three months of the filing of the application.

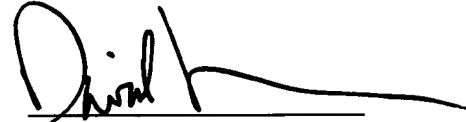
The present Information Disclosure Statement is being submitted in compliance with 37 CFR 1.56, but the citation of such document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104(a) and 1.106(b) and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

It is believed that no fee is due. However, if the Commissioner determines that a fee is due, the Commissioner is hereby authorized to charge the above deposit account for any deficiency.

Early and favorable consideration is earnestly solicited.

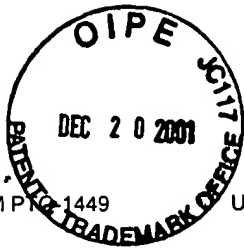
Respectfully submitted,

Dated: December 19, 2001

A handwritten signature in black ink, appearing to read 'David Leason', written over a horizontal line.

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FORM P, 1449

U.S. DEPARTMENT OF COMMERCE PATENT & TRADEMARK OFFICE

SHEET 1 OF 4
(REV. 7-80)**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 3211/IH348-US1
APPLICANT: Augustine F. UDO, et. alSERIAL NO: 09/931,152
FILING DATE: August 16, 2001
CONFIRMATION NO: 3162**RECEIVED**

JAN 02 2002

Technology Center 2100

U.S. PATENT DOCUMENTS

<u>*EXAMINER</u> <u>INITIALS</u>	<u>DOCUMENT</u> <u>NUMBER</u>	<u>DATE</u>	<u>NAME</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>FILING DATE</u>
1.	6,161,099	Dec. 12, 2000	Harrington et al.	705	37	May 29, 1998
2.	5,857,176	Jan. 5, 1999	Ginsberg	705	36	May 9, 1997
3.	5,905,974	May 18, 1999	Fraser et al.	705	37	Dec. 13, 1996
4.	5,905,975	May 18, 1999	Ausubel	705	37	Jan. 2, 1997
5.	5,915,209	Jun. 22, 1999	Lawrence	455	31.2	Oct. 3, 1997
6.	5,774,176	Jun. 30, 1998	Carter	348	83	Oct. 6, 1997
7.	5,774,880	Jun. 30, 1998	Ginsberg	705	36	Feb. 28, 1995
8.	5,794,207	Aug. 11, 1998	Walker et al.	705	23	Sept. 4, 1996
9.	5,802,501	Sept. 1, 1998	Graff	705	36	Jan. 12, 1994
10.	5,845,266	Dec. 1, 1998	Lupien et al.	705	37	Dec. 12, 1995
11.	5,640,569	Jun. 17, 1997	Miller et al.	395	729	Apr. 28, 1995
12.	5,497,317	Mar. 5, 1996	Hawkins et al.	364	408	Dec. 28, 1993
13.	5,502,637	Mar. 26, 1996	Beaulieu et al.	364	408	Jun. 15, 1994
14.	5,375,055	Dec. 20, 1994	Togher et al.	364	408	Feb. 3, 1992
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16.	5,136,501	Aug. 4, 1992	Silverman et al.	364	408	May 26, 1989
17.	5,077,665	Dec. 31, 1991	Silverman et al.	364	408	May 25, 1989
18.	4,903,201	Feb. 20, 1990	Wagner	364	408	Nov. 3, 1983
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21.	3,581,072	May 25, 1971	Nymeyer	235	152	Mar. 28, 1968

FOREIGN PATENT DOCUMENTS

<u>*EXAMINER</u> <u>INITIALS</u>	<u>DOCUMENT</u> <u>NUMBER</u>	<u>DATE</u>	<u>COUNTRY</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>TRANSLATION</u> <u>YES</u> <u>NO</u>
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CONFIRMATION NO: 3162*EXAMINER
INITIALS**OTHER REFERENCES****(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)***EXAMINER
INITIALS

22. Letter with attachment Bid Form: Thomas, Rick, *MuniBid, Inc.* (August 28, 1996); Landes, David V., 4 pp, (August 16, 1996)
23. Thomas, Rick, "Sample Form of MuniBid™ Notice of Sale", Munibid, Inc., 9 pp
24. ✓ Brochure, Thomas, Rick, "Introduction to MuniBid™ Optimizing Municipal Bond Sales", *MuniBid*, 13 pp
25. Pamphlet, "MuniBid™ Optimizing Bond Sales for the Tax-Exempt Issuer", *MuniBid*, 2 pp
26. Resnick, Amy B., "Parity On-Line Biding Program Wins Positive Reviews" *The Bond Buyer*, 1 pp (May 7, 1997)
27. Brochure, "Parity.....and the Municipal Securities Issuer", *Parity*, 3 pp (author and date unknown),
28. Brochure, "Technology for Today's Competitive Sale Market: How the Parity Network is Changing Competitive Offerings", *Parity*, 2 pp (Copyright 1992)
29. Newsletter, "Internet Benefits SF Redevelopment Offering", *California Public Finance*, Vol. 10, n21, pN/A, 1pp (Jan. 13, 1997)
30. Newsletter, Dazzo, Nicholas, J., "In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Clients With Timely Bond Data: Municipal Bond Dealers Have Never Had It So Easy", *The Bond Buyer*, 4 pp (August 29, 1989)
31. Newsletter, "JP Morgan and Capital Link in Bid to Develop Electronic Auction for Corporate Debt Securities", *Trading Systems Technology*, Vol. 2, n20, pN/A, 2 pp (April 24, 1989)

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32. Richtmyer, Richard, "Grant Street Advisers in Setting Up the First Muni Bond Auction Web Site", *The Bond Buyer*, Vol. 320, No. 30159, 3 pp (June 4, 1997)
33. Richtmyer, Richard, "Survey Shows Bond Market is Warming Up to Electronic Trading", *The Bond Buyer*, Vol. 321, No. 30213, 3 pp (August 20, 1997)
34. Stirland, Sarah, "News and Trends: Broker-Dealers to Hawk Products Via Satellite and Cable TV", *The Bond Buyer*, Vol. 320, No. 30125, 3 pp (April 16, 1997)
35. Morgenstern, Renata, "Electronic Bidding for Municipal Bonds: Technology Innovations for Competitive Bond Sales", *Government Finance Review*, pp. 23-25 (Feb. 2000)
36. Richtmyer, Richard, "Gaining PARITY: Dalcomp Purchases Electronic Bid System to Exploit Internet", *The Bond Buyer*, 2 pp (February 25, 1998)
37. Whalen, Robert, "Where is Dalcomp? New Product Awaits Inaugural Deal", *The Bond Buyer*, 1 pp (August 19, 1998)
38. Whalen, Robert, "Dalcomp's Electronic Bidding System Set to Debut with Wisconsin GO Deal", *The Bond Buyer*, 1 pp (August 21, 1998)
39. Bid Form, Municipal Bond Underwriting, *Parity*, 1 pp (April 29, 1996)
40. Brochure/Questionnaire, document entitled "Q: What Do These Issues Have in Common", received by the Comptroller of the Treasury, 1 pp (June 6, 1995)
41. Bid Form, Official Notice of Sale: Tennessee Local Development Authority State Loan Programs Revenue Bond Anticipation Notes \$45,000,000* 1996 Series A, 3 pp (dated: May 10, 1996)
42. Bid Form, Tennessee Local Development Authority State Loan Programs Revenue Bond Anticipation Notes \$45,000,000* 1996 Series A, 2 pp (dated: May 21, 1996)
43. Bid Form, Tennessee LDA State Loan BAN 1996A, *Parity*, 1 pp (May 21, 1996)
44. Form of Agreement, underwriter's asked to sign, *Parity*, 5 pp (February 6, 1995)
45. Suggested Language document for including in the Notice of Sale Regarding Parity, 1 pp

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46. Bid Form, "Issue: \$7,000,000 Tax Free, WA, G.O. Bonds", *Parity*, 1 pp (1994)
47. Bid Data Form with Notice of Sale Form, "Financial Advisors/Issuers see the following data for each bid and for each Issue by dialing 206-635-0940 (this information only shows after the deadline for receipt of bids)", *Paul Hennigan: Director of Finance: City of Pittsburgh*, 10 pp (November 22, 1996)
48. Resnick, Amy B., "Parity On-Line Bidding Program Wins Positive Reviews", *The Bond Buyer*, 1 pp (May 7, 1997)
49. Stirland, Sarah, "Wall Street Is Rattled by Software That Can Remake Competitive Deals", *The Bond Buyer* 2 pp (August 21, 1996)
50. Attachment A: TIC Calculation Code, 2 pp

EXAMINER: _____

DATE CONSIDERED: _____

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.